



June 2007

Information Request Questions: Financial – Individual Ability to Pay

INCOME

1. Have you received income from any source [list total amount for each year and itemize subtotals and sources for each year during the period being investigated].
2. Provide annual salary from all sources was [list amount(s) and source(s) for each year].
3. Have you received fees for management assistance or other services rendered to any individual, partnership, firm or corporation [list amount and source].
4. Have you received commissions from any source [list amount and source].
5. Have you received stock dividends from any corporation, domestic or foreign [list amount and source].
6. Have you received a bonus from any business [list amount and source].
7. Have you received rent payments [list amount and source].

ACCOUNTS, SECURITIES

8. Have you had savings or certificate of deposit accounts in any bank, domestic or foreign [list name and address of institutions, annual December balances of accounts, and current balance of accounts].
9. Have you had checking, money market, or other form of account in any bank, domestic or foreign [list name and address of institutions, annual December balances of accounts, and current balance of accounts].
10. Have you had an individual retirement account(s) (IRAs), Keough, or other retirement or pension accounts [list type of accounts and current balance of accounts].
11. Have you had accounts receivable, mortgages receivable, or other amounts owing to you from any person [list name of person owing, type of debt owing, and amount owed].
12. Where you involved in a partnership, joint venture, or other non- corporate accounts where you shared with others for which you were the sole signatory [list name and address of institutions, annual December balances of accounts, and current balance of accounts].
13. Have you owned stocks, bonds, mutual funds, or other securities [list; include date & acquisition cost].
14. Have you had a brokerage account with any broker [list name of brokers, account numbers, and outstanding balance in each account].
15. Have you owned any bonds, government debt issues, or evidence of debt of any governments [list each such item owned and date and cost of acquisition].
16. Have you owned commodities [list, including date and cost of acquisition].
17. Have you had a commodity account with any broker [list name of brokers, account numbers, and outstanding balance in each account].

18. Have you had an account with any financial institution, brokerage house, or other financial or credit organization, other than those listed above [list name of institution, account number and outstanding balance in each account].
19. Have you had power of attorney or authority of any nature whatsoever, either over stocks, bonds, commodity accounts, or other form of securities [identify and describe any such property and beneficial owner thereof].

REAL ESTATE

20. Have you owned a house, dwelling place, condominium, or cooperative apartment, including those outside the United States [list address, date of purchase, and purchase price].
21. Have you owned real estate and/or have ownership interest in any real estate (including but not limited to fee ownership, beneficial interest under a trust or similar instrument, an option, or a leasehold interest) [list address, legal description if other than fee ownership, location and book and page number of where deed is recorded, and date and cost price of acquisition].
22. Have you had an ownership interest in any partnership, joint venture, trust, corporation, or association that owns real estate [list names of such entities, interest owned, and date and cost of acquisition].
23. Have you had an appraisals of real estate in which you have an ownership interest [list property address, appraiser, date of appraisal, and appraisal amount].
24. Have you owned any mortgages or have any interest in any mortgages [list amount, interest, description of property mortgaged, identities of mortgagor and mortgagee].
25. Have you acted as a trustee or fiduciary with respect to any real estate [identify and describe any such property and beneficial owner thereof].

INSURANCE

26. Have you owned an insurance policy of any type [list name of company, face amount of policy, cash surrender value, outstanding loans, type of insurance, beneficiary and amounts borrowed thereon].
27. Have you received dividends from any insurance company [list as in preceding question].
28. Have you paid any premiums on, and/or had someone pay premiums on your behalf, on any insurance policy [list as in preceding question].
29. Are you the beneficiary of any insurance policy [list as in preceding question].
30. Have you created, and/or has someone created on your behalf, any life insurance trusts or any other form of life insurance owned on your life by others [list as in preceding question].

OTHER PROPERTY

31. Have you acted as a trustee or fiduciary with respect to any personal property [identify and describe any such property and beneficial owner thereof].
32. Do you own an automobile, truck, motor home, other motor vehicle of any kind, sailboat, motorboat, airplane, or other such item [list date and cost of acquisition].

33. Do you have personal property that at the time of purchase had a value over \$500, including but not limited to cameras, televisions, audio equipment, jewelry, watches, furs, or similar property [include description, serial number (if any) and date and cost of acquisition].
34. Do you own or have any legal or financial interest in any work of art, musical instrument, or appraised antique that at the time of purchase had a value over \$500 [include description, date and cost of acquisition].
35. Have you had a safe deposit box or access to any safe deposit box [list name and address of each institution, each safe deposit box and the contents thereof].

CLAIMS AND LEGAL SUITS

36. Have you had a claim against any insurance company [identify company, amount of claim and description of claim].
37. Have you had a claim against or interest in any estate or any trust of any person, whether living or dead [identify estate or trust, amount of claim and description of claim].
38. Have you had a claim against any person, whether living or dead, or any firm or corporation [identify individual or entity, amount of the claim and description of claim].
39. Have you had an interest in any promissory notes, drafts or other commercial paper [identify maker or drawer, date, and amount].
40. Are you entitled to receive any money from any State, City or Federal government, or agency or department thereof [identify agency or department and amount].
41. Are you entitled to any Federal, State or City income tax refund [identify and list amount].
42. Are you a plaintiff or defendant in any action now pending in any court [list the style (name or heading) of each case, case number, and court in which each case is pending].
43. Are you a party to any arbitration proceeding now pending before any arbitrator or board of arbitration [identify each proceeding].
44. Are there any judgements or decrees outstanding against you [list style of each case, case number, and court which entered each judgement of decree].
45. Have you executed guaranties of the indebtedness or obligation of any individual, corporation, partnership, realty trust or other entity [identify debtor, amount, and holder of each guaranty].

GIFTS AND CONVEYANCES

[Note: Your response to questions 46-55 need refer only to gifts and conveyances with a cash or market value over \$1,000.]

46. Have you made any gifts of money, securities, real estate, or other property or assets since [date] [list and describe property given, approximate value at time of acquisition, date of gift, and identity of recipient].
47. Have you made any sale, conveyance, or other disposition of real or personal property since [date] [list and describe property transferred, approximate value in terms of cost of acquisition, property or money received for such transfer (if any), date of transfer and identity of recipient].

48. Have you made a sale, conveyance, or other disposition of real or personal property since [date] in which benefits, annuities, reservations of rights, or options run to you [list and describe property transferred, approximate value in terms of cost of acquisition, property or money received for such transfer (if any), date of transfer and identity of recipient, and terms of transfer and such retention of rights].
49. Have you made any releases or waivers since [date] of any valuable claims or contract rights which you owned or held against other parties [list and describe claims, approximate value, property or money received for release (if any), date of release, and identity of recipient].
50. Have you made any gifts to spouse, children, grandchildren, siblings, or other relatives of money, securities, real estate, or other property or assets or otherwise transferred such property to such persons since [date] [list and describe property given, approximate value at time of acquisition, date of gift, and identity of recipient].
51. Have you made any payments to creditors, outside of the ordinary course of business [identify creditor and list amount and date of payment].
52. Has any realty trust or other trust in which you have held beneficial interest at any time during the period being investigated made any transfer of property during such time [list and describe all such transactions, including date of transfer, nature and value of property transferred to whom transferred, consideration for the transfer, and reason for the transfer].
53. Have you conveyed any beneficial interest in any realty trust, or other trust, during the period being investigated [list and describe all such transactions, including date of transfer, nature and value of beneficial interest transferred, to whom transferred, consideration for the transfer, and reason for the transfer].
54. Has any general partnership or limited partnership in which you have held an ownership interest at any time during the period being investigated made any transfer of property during such time [list and describe all such transactions, including date of transfer, nature and value of property transferred, to whom transferred, consideration for the transfer, and reason for the transfer].
55. Has any corporation or other legal entity in which you have held a five percent (5%) or greater ownership interest at any time during the period being investigated made any transfer of property outside of the ordinary course of business during such time [list and describe all such transactions, including date of transfer, nature and value of property transferred, to whom transferred, consideration for the transfer, and reason of for the transfer].

BENEFICIAL, CUSTODIAL, AND FOREIGN INTERESTS

56. Has any real or personal property been held by others for your benefit [list and describe property so held, approximate value in terms of cost of acquisition, date of acquisition, and identity of holder].
57. Are you a beneficiary or heir under any will of a person now deceased [identify decedent, describe status of will and probate proceedings, and describe nature and value of real and personal property conveyed to you under such will].
58. Are you currently, and have not been at any time during the period being investigated, a beneficiary of any realty trust, or other trust [identify each such trust, all beneficiaries of

- trust, all assets held by trust during such period, nature and value of beneficial interest, and date interest was acquired].
59. Are you a custodian of property for any individual or entity [include description of such property and identity of beneficial owner].
60. Have you owned property, real or personal, (including but not limited to real estate, stocks, bonds, or partnership interests) in any foreign country [list and describe each item and its location, address and legal description of real property, serial numbers (if any), and date and cost of acquisition].
61. Do you have bank accounts, savings accounts or deposit accounts in banks in any foreign countries [list name and address of each institution and outstanding balance of accounts].

FINANCIAL STATEMENTS, TAXES, AND WILLS

62. Have you prepared or had prepared for you any financial statement or schedule, financial projection, tax statement, stock broker report, accountant report, or other document that presents a summary of your financial condition (in whole or in part), or have issued any such document to any bank, financial institution, banking corporation, firm, investor, or other person in the period being investigated [list and attach a copy of all such documents].
63. Please attach true and correct copies of the tax returns (and all amendments thereto) which you have filed with the Internal Revenue Service and any state, local, or foreign government for the period being investigated.
64. Please attach true and correct copies of all tax bills you have received from the Internal Revenue Service and any state, local, or foreign government for the period being investigated.
65. Please attach a copy of each will, codicil, living or testamentary trust, or similar instrument made or executed by yourself during the period being investigated.

OTHER INFORMATION

66. Except for the property herein set forth above, do you own or otherwise control property having a value in excess of \$500, except [list and describe such property, and date and cost of acquisition].
67. What is your best estimate of current net worth: [amount].
68. List persons who you consulted with in the preparation of your responses: [list name and address].
69. Is there any other persons who have information responsive to this Information Request that are not in your possession, custody or control [list name and address].
70. Complete the enclosed form "EPA Financial Statement for Individuals."